



10-2407

AP  
IFW

PTO/SB/21 (10-07)

Approved for use through 10/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/609,073
Filing Date	June 30, 2000
First Named Inventor	Connie T. Marshall
Art Unit	3714
Examiner Name	William H. McCulloch Jr.
Attorney Docket Number	ODS-9

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input checked="" type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard
--	--	---

### Remarks

The Director is hereby authorized to charge payment of any additional filing fees or surcharges required under 37 C.F.R. § 1.16 and § 1.17, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Ropes & Gray LLP		
Signature			
Printed name	James A. Leiz		
Date	October 22, 2007	Reg. No.	46,109

## CERTIFICATE OF EXPRESS MAILING: Express Mail Label No. EM015927754US

I hereby certify that this correspondence is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" under 37 C.F.R. 1.10 on the date indicated above and is addressed to: Mail Stop -Appeal Briefs, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature			
Typed or printed name	Sarah Schlu	Date	October 22, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

American LegalNet, Inc.  
www.FormsWorkflow.com

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



EXPRESS MAIL LABEL NO. EM015927754US

PATENTS

Attorney Docket No. ODS-9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES

Appellants : Connie T. Marshall et al.  
Application No. : 09/609,073 Confirmation No. : 2964  
Filed : June 30, 2000  
For : INTERACTIVE WAGERING SYSTEM AND METHODS  
FOR RECORDING WAGERING EVENTS  
Art Unit : 3714  
Examiner : William H. McCulloch Jr.

Mail Stop Appeal Briefs - Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

New York, NY 10036  
October 22, 2007

REPLY BRIEF

Sir:

Pursuant to 37 C.F.R. § 41.41(a), appellants are filing this Reply Brief in reply to the Examiner's Answer dated August 22, 2007 (hereinafter "the Examiner's Answer"), and in support of their appeal from the rejection of claims 2-19 and 38-48 in the Office Action dated January 29, 2007. Appellants previously filed an Appeal Brief on April 25, 2007 (hereinafter "Appeal Brief") in connection with this case.

## REMARKS

### I. Introduction

Appellants maintain the position that claims 2-19 and 38-48 of the present application are patentable in view of Brenner U.S. Patent No. 5,830,068 (hereinafter "Brenner '068"). Appellants also maintain the position that the obviousness-type double patenting rejection over Brenner et al. U.S. Patent No. 6,004,211 (hereinafter "Brenner '211") is unfounded. Appellants submit that the Examiner's Answer is insufficient as a matter of law to uphold the prior art rejections and the double patenting rejection for at least the reasons set forth in appellants' Appeal Brief. Appellants have filed this Reply Brief to address comments in the August 22, 2007 Examiner's Answer and to further demonstrate the patentability of pending claims 2-19 and 38-48.

### II. Summary of the Examiner's Answer

The Examiner's Answer maintains the § 102(e) rejection of claims 2-9, 11-19, and 38-48 and the § 103(a) rejection of claim 10 from the January 29, 2007 Office Action and restates the same grounds of rejection from that Office Action.

The Examiner's Answer also maintains the obviousness-type double patenting rejection of claims 2-19 and 38-48.

The Examiner's Answer withdraws the § 112, first paragraph, rejection regarding the scope of enablement for claims 11, 14, 15, 38, 43, and 44 (as well as claims 13 and 39-42, which depend therefrom) in light of appellants' arguments contained in the Appeal Brief.

The Examiner's Answer also provides a "Response to Arguments" section that appears to advance a new

interpretation of appellants' claim language in response to arguments presented in appellants' Appeal Brief.

III. Summary of the Appellants' Reply

Appellants' Appeal Brief fully addresses the grounds of rejection stated in the January 29, 2007 Office Action.

This Reply Brief addresses the Examiner's comments on appellants' arguments contained in the Appeal Brief.

Appellants submit that the Board should find the rejections of claims 2-19 and 38-48 to be in error and should reverse the Examiner.

IV. The 35 U.S.C. § 102(e) Rejections

A. Claims 3-7, 9, 11-19, and 38-48

Appellants submit that the Examiner's Answer is insufficient to uphold the 35 U.S.C. § 102(e) rejection of claims 3-7, 9, 11-19, and 38-48 because Brenner '068 fails to show or suggest all of appellants' claimed features recited in each of independent claims 19 and 48. Namely, Brenner '068 fails to show or suggest automatically providing a user with an opportunity to record a given race in response to placing a wager on the given race.

The Examiner's Answer maintains that the term "opportunity" is interpreted in accordance with its dictionary definition as "a situation or condition favorable for attainment of a goal" and interprets appellants' claim language as "automatically (*without additional effort*) providing an opportunity (*favorable situation or condition*) to record a race in response to (*after*) placing a wager" (Examiner's Answer, page 13). Appellants would first like to clarify that the user is automatically provided with the opportunity. This is missing from the Examiner's alleged interpretation.

Appellants submit that the Examiner is either not following his own alleged interpretation or is unreasonably interpreting appellants' claim language.

Appellants' invention advantageously automatically provides the user with an opportunity to record a race in response to placing a wager on that race. The user, therefore, does not need to manually seek out such an opportunity as required in prior systems such as the system described in Brenner '068. Appellants' FIG. 14, reproduced below, shows an example of such an opportunity in overlay 1402.

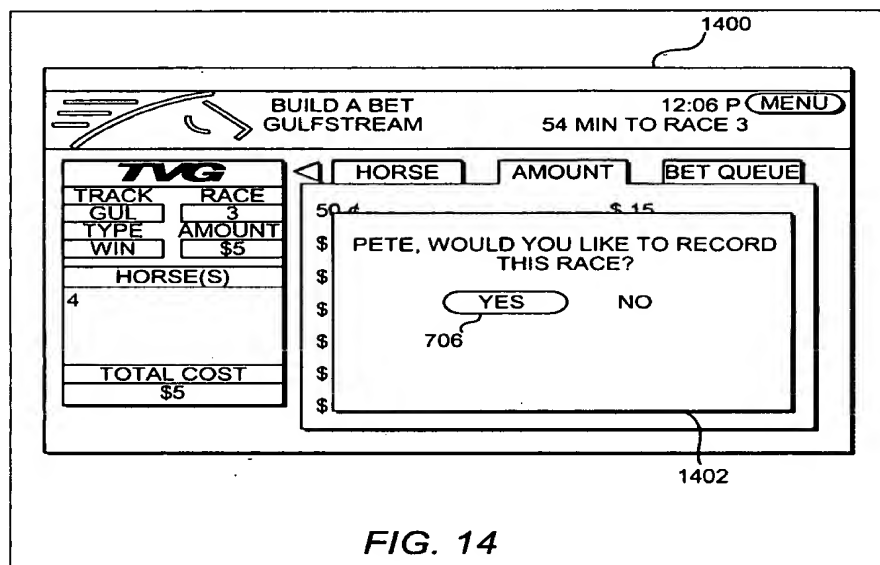


FIG. 14

Appellants believe that the Examiner would agree that overlay 1402 of FIG. 14 shows appellants' opportunity as claimed. Brenner '068, however, fails to automatically provide any such opportunity to a user in response to placing a wager. FIGS. 31 and 39 of Brenner '068 are reproduced below:

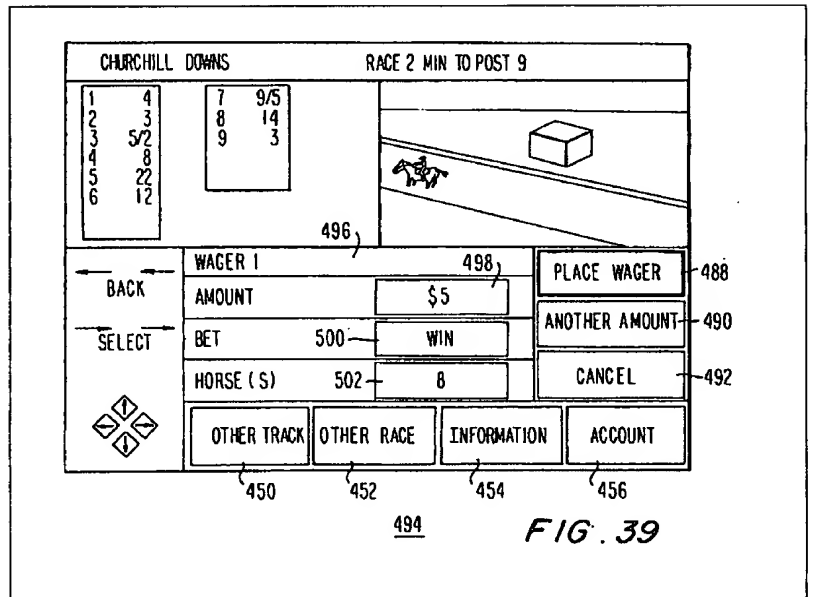
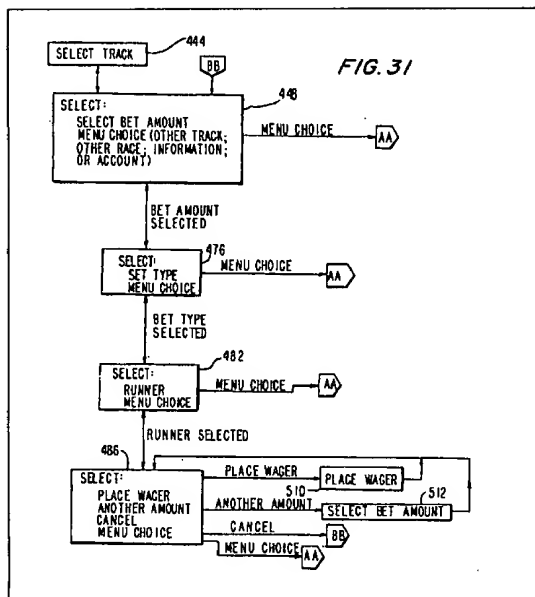


FIG. 31 shows a logic flow diagram of Brenner '068's system. As shown in the bottom portion of the flow diagram, after a wager is placed (step 510), Brenner '068's system returns to the previous step 486 of the flow diagram. Step 486 does not indicate that the user is automatically provided with an opportunity to record the race that the user wagered upon. FIG. 39 shows an illustrative display screen that corresponds to step 486 of FIG. 31. FIG. 39 provides the user with several menu options. FIG. 39, however, does not automatically provide the user with an opportunity to record the race that the user wagered upon. The specification states that a confirmatory message may also be briefly displayed in response to placing a wager (see FIG. 40). The confirmatory message also does not automatically provide the user with the appellants' claimed opportunity.

In order for a user to record a race in Brenner '068, the user must manually navigate to a screen that provides the user with such an opportunity. For example, from FIG. 39 of Brenner '068, the user must manually select "Other Race" menu option 452. This selection brings the user to a screen such as the screen shown in FIG. 49 of Brenner '068. This screen provides a number of options for

ances, including "Tape/VCR" options that provide the user an opportunity to record future races.

The Examiner's comments in the Examiner's Answer were unclear and confusing to the appellants. Nevertheless, what is clear is that the Examiner is either not following his own alleged interpretation of appellants' claims or is unreasonably interpreting appellants' claim language. Appellants address the Examiner's comments below.

The Examiner states with regard to Brenner '068 that "[c]learly the user is given the opportunity to select to record the wagered upon race, despite the fact that he must push buttons in order to do it" (Examiner's Answer, page 14). Appellants submit, however, that this statement is contrary to appellants' claims and is contrary to the Examiner's alleged interpretation of appellants' claims. Appellants' claims specify that the opportunity is automatically provided to the user. The Examiner interprets "automatically" as being "without additional effort." The Examiner, however, then appears to ignore the "automatic" aspect of appellants' claims and argues that a user's effort in Brenner '068 to manually navigate to an opportunity to record a race meets appellants' claims.

As addressed in appellants' Appeal Brief, manual selection of an option by a user in order to be presented with an opportunity to record a race fails to anticipate applicants' claims.

The Examiner in the Examiner's Answer also appears to use the "automatic" aspect of appellants' claims in a context that is different than its use in the claims. For example, the Examiner states the following:

The claims do not say ..., but rather that there is an opportunity to record the race, the opportunity being automatic. The conditions for a player to record the race, or opportunity to record the race, are present in response to placing the bet and are automatic (Examiner's Answer, page 14).

Here, the Examiner appears to be stating that Brenner '068's opportunity or conditions are automatic. Appellants are unclear what the Examiner means by this. Appellants' claims specify that the opportunity is automatically provided, not that the opportunity is automatic. As discussed above, Brenner '068's "Tape/VCR" option (i.e., the opportunity or the Examiner's alleged condition) is not automatically provided in response to placing a wager on the given race.

The Examiner's statement cited in the previous paragraph also suggests to appellants that the Examiner may be taking an unreasonably broad interpretation of the claimed "opportunity to record the given race." Appellants acknowledge that Brenner '068 provides an opportunity to record a race. This opportunity is provided, for example, in the screen shown in FIG. 49. As discussed above, FIG. 49 includes "Tape/VCR" options that provide the user with an opportunity to record future races. FIG. 49, however, is not automatically provided in response to a user placing a wager. Rather, FIG. 49 is provided in response to a user's manual selection of, for example, the "Other Race" menu option. If the Examiner is interpreting appellants' claimed "opportunity to record the given race" to be met by the Brenner '068's "Other Race" menu option, then the Examiner is taking an unreasonably broad interpretation of appellants' claimed opportunity. The selection of the "Other Race" menu option does not cause the race that the user wagered upon to be recorded. As explained above and in appellants' Appeal Brief, Brenner '068's "Other Race" menu option allows the user to manually navigate to an opportunity to record future races. The "Other Race" menu option of Brenner '068 cannot itself be considered an opportunity to record. Appellants' invention, unlike Brenner '068, advantageously automatically provides the user with such an opportunity in response to placing a wager.

The final statement appellants would like to address in the Examiner's Answer is the following: "The



claims do not say that the race is automatically recorded in response to the wager being placed" (Examiner's Answer, page 14). Here, the Examiner appears to suggest that appellants argued in the Appeal Brief that the claims require the race to be automatically recorded in response to the wager being placed. Appellants have not made any such argument. Appellants have consistently and repeatedly argued that Brenner '068 does not show automatically providing the user with appellants' claimed opportunity. Appellants never argued that the claims require the race to be automatically recorded in response to placing a wager.

In view of the foregoing, appellants submit that the Examiner is either not following his own alleged interpretation of appellants' claims or is unreasonably interpreting appellants' claim language. In addition, appellants have addressed statements made by the Examiner that were unclear or confusing to appellants. Appellants maintain that the Examiner's rejection of independent claims 19 and 48, and dependent claims 3-7, 9, 11-18, and 38-47, under 35 U.S.C. 102(e) should be reversed.

#### B. Dependent Claim 2

The Examiner's Answer also maintains that dependent claim 2 is fully anticipated by Brenner '068. The Examiner seems to admit that Brenner '068 does not actually display the words "yes" or "no" to the user, but that there is "absolutely no criticality to using this exact verbiage" (Examiner's Answer, page 15).

The Examiner seems to be confusing a § 103 obviousness determination of overlapping ranges with a § 102 anticipation rejection. Although "a *prima facie* case of obviousness based on overlapping ranges [can be rebutted] by showing the criticality of the claimed range" (MPEP § 2144.05(III)), there is no criticality requirement to rebut a § 102 rejection. Appellants' claimed limitation of "allowing the user to select yes or no in response to the

option to record the given race" requires just that - a user selection of "yes" or "no" in response to an option to record a race.

Since at least because the Examiner admits that Brenner '068 does not show this claimed feature, dependent claim 2 is not anticipated by Brenner '068. For at least this reason, as well as the reasons set forth in appellants' Appeal Brief, appellants submit that the Board should find the § 102(e) rejection of claim 2 to be in error and should reverse the Examiner.

### C. Dependent Claim 8

The Examiner's Answer also maintains that dependent claim 8 is fully anticipated by Brenner '068. According to the Examiner's Answer, appellants' claimed "personal archive" is anticipated by Brenner '068 because Brenner '068 allows a user to "set his own recording of an upcoming race" and "make a personal, individual order to view a previous race on demand" (Examiner's Answer, page 16).

As argued in appellants' Appeal Brief, FIGS. 49 and 50 of Brenner '068 do not list previously recorded races in a personal archive. Rather, these figures show illustrative menu options, such as "Results" and "Tape/VCR." Selecting "Results" allows a user to order an earlier race. See Brenner '068, column 26, line 65 - column 27, line 22. After selecting "Results," the user may be presented with the display screen of FIG. 50, which allows the user to purchase a video of a race. *Id.* However, none of the listings in FIGS. 49 or 50 refer to previously recorded races in a user's "personal archive." Rather, these figures merely enable users to set a recording or order a video of a race. See Brenner '068, column 27, lines 22-38. As described in appellants' specification:

[i]f desired, the interactive wagering system may allow the user to easily

access the user's stored racing videos. The racing videos may be stored in a personal archive. . . . The interactive wagering system may include a racing video archive located remotely from the user equipment. The system may allow the user to search the racing archive for desired races. . . . The user may view one or more of the matches or may save one or more of them in the user's personal archive. (Specification, page 3, line 32 - page 4, line 17).

From the foregoing description, it is clear that appellants' specification discloses both remotely-stored and locally-stored personal archives. The user's "personal archive" is a personalized archive of racing videos selected by a specific user. This definition is congruous with the common meaning of a personal video archive, as would be understood to one of ordinary skill in the art at the time appellants' invention was made. Appellants submit that the mere ability to order racing videos on-demand or set recordings of upcoming races does not implicate a personal archive. As such, Brenner '068 does not anticipate dependent claim 8.

For at least the foregoing reasons, as well as the reasons set forth in appellants' Appeal Brief, appellants submit that the Board should find the § 102(e) rejection of claim 8 to be in error and should reverse the Examiner.

V. The 35 U.S.C. § 103(a) Rejections

Appellants submit that the Examiner's Answer is also insufficient to uphold the 35 U.S.C. § 103(a) rejection of claim 10. Claim 10 recites that the previously recorded races in the personal archive are listed with their corresponding date. As previously argued in the Appeal Brief, nothing in Brenner '068 suggests that previously recorded races in a user's personal archive should be listed with their corresponding date.

The Examiner contends that it would have been obvious to list previously recorded races with the corresponding date "to allow users to correctly identify when the race took place" (Examiner's Answer, page 16). However, previously recorded races could just as easily be identified by runner name, track name, race number, or any other identifying information. Listing previously recorded races by date advantageously allows a user to efficiently view a runner's performance in recent races. Such a listing is not shown or suggested by Brenner '068.

In an effort to bolster his argument, the Examiner further submits that "virtually ever modern computer operating system appends a date to digital files representing the date that the file was created" (Examiner's Answer, page 17). The Examiner also includes an excerpt from *Special Edition Using Windows NT Workstation 4.0* in order to show that the date and time of file creation is "well within the capabilities of one of ordinary skill in the art." *Id.* The Examiner appears to be taking official notice that listings by date are well-known in the art.

Appellants respectfully disagree and traverse the Examiner's use of official notice (if the Examiner is in fact taking official notice). The Examiner has only shown that some operating systems keep track of a file's creation date. This showing is wholly inadequate to conclude that a racing video's corresponding race date may be displayed in a personal video archive listing. A file's creation date and the corresponding race date of a racing video may be different dates.

For at least the foregoing reasons, as well as the reasons set forth in appellants' Appeal Brief, appellants submit that the Board should find the § 103(a) rejection of claim 10 to be in error and should reverse the Examiner.


VI. The Double Patenting Rejection

The Examiner has also maintained the double patenting rejection of claims 2-19 and 38-48 over Brenner '211. In view of the remarks in appellants' Appeal Brief, appellants submit that each of the pending claims are patentably distinct from the issued claims in Brenner '211. Moreover, since Brenner '211 is a valid prior art reference, appellants maintain the position that the obviousness-type double patenting rejection should actually be a prior art rejection.

VII. Conclusion

For at least the reasons set forth above, appellants respectfully submit that claims 2-19 and 38-48 are in condition for allowance. The Examiner's rejections of these claims should be reversed.

Respectfully submitted,

  
\_\_\_\_\_  
James A. Leiz  
Registration No. 46,109  
Attorney for Appellants  
ROPES & GRAY LLP  
Customer No. 1473  
1211 Avenue of the Americas  
New York, NY 10036-8704  
Tel.: (212) 596-9000